

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: Jie Liu et al.

Group Art Unit:

Serial No.:

Examiner:

Filed:

For CHARGE TRANSFER-PROMOTING
MATERIALS AND ELECTRONIC DEVICES
INCORPORATING SAME

INFORMATION DISCLOSURE STATEMENT

- ☒ 1 **Pursuant to 37CFR 1.97(b)**
[within 3 months of national, non-CPA filing or prior to 1st Office Action] *no charge*
- ☐ 2 **Certification Pursuant to 37 CFR 1.97(c)(1)**
[before Final Office Action, Allowance, or other action closing prosecution] *no charge*
- ☐ 3 **Fee Payment Pursuant to 37 CFR 1.97(c)(2)**
[before Final Office Action, Allowance, or other action closing prosecution] *\$180.00*
- ☐ 4 **Certification & Fee Payment Pursuant to 37 CFR 1.97(d)**
[On or before issue fee payment] *\$180.00*

ATTN: BOX PATENT APPLICATION

Assistant Commissioner for Patents

Washington, D.C. 20231

Sir:

The following are submitted in the above application in compliance with 37 CFR 1.97 and 37 CFR 1.98:

- ☒ 5 A list of documents on form PTO-1449 or Substitute together with copies of each identified document and a translation thereof or a concise explanation of each non-English language document or a Search Report from an International Searching Authority for a patent application filed via the Patent Cooperation Treaty or document(s) cited in the application or the priority application.

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231, on the date indicated below.

Date of Deposit_____
Type or Print Name_____
Signature

This paper is submitted in accordance with:

- ☒ 6 37 CFR 1.97(b): [within 3 months of national, non-CPA filing or prior to 1st Office Action]
- ☐ 7 37 CFR 1.97(c): [before Final Office Action, Allowance, or other action closing prosecution, whichever is earlier]; and
- ☐ 8 The required Certification made in item 11 below; or
- ☐ 9 The \$180.00 fee specified in 37 CFR 1.17(p) for submission of this Information Disclosure Statement is authorized in item 15 below.
- ☐ 10 37 CFR 1.97(d): [on or before issue fee payment]; and
- a) The required Certification is stated in item 11 below; and
- b) The \$180.00 fee specified in 37 CFR 1.17(p) for submission of this Information Disclosure Statement is authorized in item 14 below.
- ☒ 11 Certification
- ☐ 12 Each item of information contained in this Statement was first cited in any communication from a foreign patent office in a counterpart foreign patent application not more than three months prior to the filing of this Statement; or
- ☐ 13 No item contained in this Statement was cited in a communication from a foreign patent office in a counterpart foreign application and, to the knowledge of the person signing this document after making reasonable inquiry, no item of information contained in this Statement was known to any individual designated in 37 CFR 1.56(c) more than three (3) months prior to the filing date of this Statement.
- ☒ 14 Payment of all applicable fees:
- ☒ 15 Please charge all applicable fees associated with the submittal of this Information Disclosure Statement to Deposit Account No. 07-0868

An original and two (2) copies of this document are enclosed.

January 15, 2004
Date

General Electric Company
CRD Patent Docket Rm 4A59
P.O. Box 8, Bldg. K-1
Schenectady, New York 12301
Customer Number: 006147

Respectfully submitted,

Toan P. Vo

Attorney - Toan P. Vo
Registration No. 43,225
Phone: (518) 387-6648
or (518) 387-7122

FORM PTO-1449
(REV. 7-80)
(Title Amended 3/83)

U.S. DEPARTMENT OF COMMERCE
PATENT AND TRADEMARK OFFICE

ATTY. DOCKET NO.

134198

SERIAL NO.

INFORMATION DISCLOSURE STATEMENT BY APPLICANT--

LIST OF ITEMS

(Use several sheets if necessary)

Applicant

Jie Liu et al.

Filing Date

Group

U.S. PATENT DOCUMENTS

*EXAMINER INITIAL	DOCUMENT NUMBER							DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
	AA	4	1	3	2	8	3	7	01/02/79	Soffer		
	AB	4	4	7	4	9	6	3	10/02/84	Gokel		
	AC	4	7	5	5	3	2	6	07/05/88	Liepins et al.		
	AD	4	7	6	9	2	9	2	09/06/88	Tang et al.		
	AE	4	8	4	3	1	5	8	06/27/89	Smith		
	AF	5	0	4	7	5	6	3	09/10/91	Denton et al.		
	AG	5	2	9	4	8	7	0	03/15/94	Tang et al.		
	AH	5	6	7	5	9	7	2	10/14/97	Edelson		
	AI	5	8	1	0	9	8	0	09/22/98	Edelson		
	AJ	5	8	7	4	0	3	9	02/23/99	Edelson		
	AK	6	0	1	3	3	8	4	01/11/00	Kido et al.		

FOREIGN PATENT DOCUMENTS

		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION	
							YES	No
	AL							
	AM							
	AN							
	AO							
	AP							

OTHER INFORMATION (Including Author, Title, Date, Pertinent pages. Etc.)

AR	"The Electroluminescence of Organic Materials", U. Mitschke et al., J. Mater. Chem., Vol. 10, 1471-1502 (2000)
AS	"Advanced Organic Chemistry", J. March, 4th ed., John Wiley & Sons; New York, New York, pp. 1181-83, 1196, 1204-05, 413, 417, 896-97, 392-98, 400-02, 1227, 974, 387 (1992)
AT	"Near Ultraviolet Electroluminescence from Polysilanes", H. Suzuki et al., Thin Solid Films, 331, pp. 64-70 (1998)

EXAMINER

DATE CONSIDERED

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered.
Include copy of this form with next communication to applicant.

FORM PTO-1449
(REV. 7-80)
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U.S. PATENT DOCUMENTS

*EXAMINER INITIAL	DOCUMENT NUMBER								DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
	BA	6	0	2	3	3	7	1	02/08/00	Onitsuka et al.			
	BB	6	1	0	3	2	9	8	08/15/00	Edelson et al.			
	BC	6	3	5	0	4	0	8	02/26/02	Dye et al.			
	BD												
	BE												
	BF												
	BG												
	BH												
	BI												
	BJ												
	BK												

FOREIGN PATENT DOCUMENTS

		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION	
							YES	No
	BL							
	BM							
	BN							
	BO							
	BP							

OTHER INFORMATION (Including Author, Title, Date, Pertinent pages. Etc.)

	BR	"Organic Chemistry in Colour", P.F. Gordon and P. Gregory, Springer-Verlag, Berlin, pp. 95-108 (1983)
	BS	
	BT	

EXAMINER

DATE CONSIDERED

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.